

TITLE COMPANIES (10/24/2018)

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2019

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	NONE	EO	XXX	3/1	NAIC	A-M
	1.1	Printed Investment Schedule detail (Pages E01-E27)	NONE	EO	XXX	3/1	NAIC	A-M
	2	Quarterly Financial Statement (8 1/2" x 14")	NONE	EO	XXX	5/15, 8/15, 11/15	NAIC	A-M
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	NONE	EO	XXX	3/1	Company	A-M
	12	Investment Risk Interrogatories	NONE	EO	XXX	4/1	NAIC	A-M
	13	Management Discussion & Analysis	NONE	EO	XXX	4/1	Company	A-M
	14	Schedule SIS	NONE	EO	0	3/1	NAIC	A-M
	15	Supplemental Compensation Exhibit	NONE	EO	0	3/1	NAIC	A-M
	16	Supplemental Schedule of Business Written By Agency	NONE	EO	XXX	4/1	NAIC	A-M
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	NONE	EO	XXX	3/1	NAIC	A-M
	62	March .PDF Filing	NONE	EO	XXX	3/1	NAIC	A-M
	63	Supplemental Electronic Filing	NONE	EO	XXX	4/1	NAIC	A-M
	64	Supplemental .PDF Filing	NONE	EO	XXX	4/1	NAIC	A-M
	65	Quarterly Statement Electronic Filing	NONE	EO	XXX	5/15, 8/15, 11/15	NAIC	A-M
	66	Quarterly .PDF Filing	NONE	EO	XXX	5/15, 8/15, 11/15	NAIC	A-M
	67	June .PDF Filing	NONE	EO	XXX	6/1	NAIC	A-M
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	NONE	EO	0	6/1	Company	A-M
	82	Audited Financial Reports	NONE	EO	0	6/1	Company	A-M
	83	Audited Financial Reports Exemption Affidavit	NONE	EO	0		Company	A-M
	84	Communication of Internal Control Related Matters Noted in Audit	NONE	EO	0	8/1	Company	A-M
	85	Independent CPA (change)	NONE	EO	0		Company	A-M
	86	Management's Report of Internal Control Over Financial Reporting	NONE	EO	0	8/1	Company	A-M
	87	Notification of Adverse Financial Condition	NONE	EO	0		Company	A-M
	88	Request for Exemption to File	NONE	EO	0		Company	A-M
	89	Relief from the five-year rotation requirement for lead audit partner	NONE	EO	0	3/1	Company	A-M
	90	Relief from the one-year cooling off period for independent CPA	NONE	EO	0	3/1	Company	A-M
	91	Relief from the Requirements for Audit Committees	NONE	EO	0	3/1	Company	A-M
V. STATE REQUIRED FILINGS***								
	101	Corporate Governance Annual Disclosure***	NONE	0	0	6/1	Company	***
	102	Filings Checklist (with Column 1 completed)	NONE	0	0	0	State website	
	103	Form B-Holding Company Registration Statement	NONE	0	0	4/15	Company	A-M
	104	Form C-Holding Company Registration Statement	NONE	0	0	4/15	Company	A-M
	105	Form F-Enterprise Risk Report ****	NONE	0	0	9/15	Company	A-M
	106	ORSA *****	NONE	0	0	9/1	Company	A-M
	107	Annual Statement Filing Fee	\$200	0	\$200	3/1	State Webpage	C
	108	Signed Jurat	NONE	0	XXX	3/1	NAIC	L
	109	Annual Continuation of Certificate of Authority					State website	C
	110	Premium Tax Payment and Reporting					State website	D

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
	111	Fraud Assessment					State website	C
	112	Property and Casualty Filing Fees					State website	C
	113	Title Insurance Maintenance Assessment Fund	NONE	NONE	1	5/1	Company	C
	114	Title Insurance Agent's Statistical Report	NONE	NONE	AGENT	5/15	State website	O
	115	Title Insurance Underwriters Statistical Report with a copy of Schedule T from the Annual Statement Filing.	NONE	NONE	1	5/15	State website	P

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

***For those states that have adopted the NAIC Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm.

****New Mexico Office of Superintendent of Insurance has adopted the NAIC updated Holding Company Model Act, a Form F filing which is required annually by holding company groups. Refer to Section 59A-37 and NMAC 13.2.2.7. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

***** The New Mexico Office of Superintendent of Insurance requires filing of the Risk Management and Own Risk and Solvency Assessment Model Act (ORSA) Summary Report pursuant to Section 59A-4-3 and 59A-5-29 for companies with written premiums in excess of 1 billion dollars. For those states that have adopted the NAIC updated ORSA, a summary report is required annually by insurers and insurance groups above a specified premium threshold. Consistent with the Form B filing requirements. The ORSA Summary Report is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	Examination Bureau Mark Jordan 505- 827-4655 mark.jordan@state.nm.us
B	Mailing Address:	Office of Superintendent of Insurance Examination Bureau Room 440 Attn: Mark Jordan P.O. Box 1689 Santa Fe, NM 87504-1689
C	Mailing Address for Filing Fees:	<p>2018 Annual Statement Filing Fee Invoices are due by March 1 2016. Invoices shall be available on our web page in February 2019. Use the “Edit/Find” function to search for your company’s invoice at the web link using you NAIC CoCode. Print the invoice and follow the electronic payment instructions. Both the invoices and the instructions can be found at the following link:</p> <p>https://www.osi.state.nm.us/Examinations/index.aspx</p> <p>Filing fees and instructions for renewal or continuation of Certificate of Authority are found at the following link:</p> <p>https://www.osi.state.nm.us/CompanyLicensing/renewalinfo.aspx</p> <p>Filing fees and instructions payment of Fraud Assessment are found at the following link:</p> <p>https://www.osi.state.nm.us/FraudBureau/InsuranceFraud.aspx</p> <p>For instructions for payment of Property and Casualty Filing Fees go to the following link:</p> <p>https://www.osi.state.nm.us/PropertyCasualty/index.aspx</p>
D	Mailing Address for Premium Tax Payments:	Follow this link to our web page for all information in regard to Premium Taxes: https://www.osi.state.nm.us/FinancialAudit/index.aspx
E	Delivery Instructions:	All hard copy filings must bear U.S. postmark or courier service pick-up date no later than the indicated due date. New

			<p>Mexico domestic company electronic filing must be received by the contact person no later than the indicated due date. Electronic (PDF) versions of filings shall be sent by email. If file is too large send through email send to your FTP site and provide instructions by email to the contact person so they can download filing. Do not send Zip files. They will be blocked by our firewall. Use the following delivery address:</p> <p>Office of Superintendent of Insurance Examination Bureau Room 440 Attn: Mark Jordan 1120 Paseo de Peralta Santa Fe, NM 87501</p>
F	Late Filings:		The superintendent may grant for good cause, on or before March 1, a reasonable extension of time for filing the annual statement. Send all requests for filing extensions to the Examination Bureau contact before the due date of the filed item.
G	Original Signatures:		Follow NAIC instructions when providing signatures and notary/certification
H	Signature/Notarization/Certification:		Follow NAIC instructions when providing signatures and notary/certification.
I	Amended Filings:		Amended items must be filed within 10 days of their amendment, along with an explanation of what, why filing was amended. Signature requirements for amendments are the same as for the original filing.
J	Exceptions from normal filings:		The superintendent may grant for good cause, on or before March 1, a reasonable extension of time for filing the annual statement. Send all requests for filing extensions to the Examination Bureau contact before the due date of the filed item.
K	Bar Codes (State or NAIC):		New Mexico does not use Bar Codes but NAIC does. Please refer to NAIC filing requirements.
L	Signed Jurat:		The Jurat is required for domestic companies only and is to be submitted with the Annual and Quarterly Financial Statement Filing.
M	NONE Filings:		Follow NAIC filing requirements
N	Filings new, discontinued or modified materially since last year:		1. See yellow highlight on Checklists for new filings.

			<p>2. Do not sending Checklist with each filing.</p> <p>3. Send 1 hard copy of Audit Report - New Mexico domicile Companies only.</p> <p>4. Electronic Payments Only for Annual Statement Fee and Premium Tax.</p>
	O	Title Insurance Agent's Statistical Report (TSR)	<p>See State web page at the following link for forms and instructions:</p> <p>https://www.osi.state.nm.us/Title/index.aspx#</p>
	P	Title Insurance Underwriters Statistical Report (USR) with a copy of Schedule T from the Annual Statement Filing.	<p>See State web page at the following link for forms and instructions:</p> <p>https://www.osi.state.nm.us/Title/index.aspx#</p>

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

Electronic filing is intended to be filing(s) submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM to the NAIC. Companies are not required to file hard copy filings with the NAIC.

Column (1) Checklist

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when submitting information to the state.

Column (2) Line #

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) Required Filings

Name of item or form to be filed.

The *Annual Statement Electronic Filing* includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March.PDF Filing* is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplemental.PDF Filing* is the .pdf file for all supplements due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly.PDF Filing* is the .pdf for quarterly statement data.

The *June.PDF Filing* is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4) Number of Copies

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (EX) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) Due Date

Indicates the date on which the company must file the form.

Column (6) Form Source

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing

instructions (generally, on its web site). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) Applicable Notes

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.

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